



# BLACKMONT

CAPITAL<sup>®</sup>

**Title:** Investment Services Assistant

**Business Area:** Private Client Group

**Location:** Oakville

**Employment Type:** Permanent Full-Time

**Overview:** The purpose of the position is to assist an Investment Advisor in managing existing investment portfolios and developing new business, by providing service directly to clients, including the provision of investment information, taking buy/ sell orders, and responding to account enquiries.

## **Job Responsibilities/Duties:**

1. Assist the Investment Advisor in the performance of his or her duties and provide customer service:

- \* Take buy/ sell orders from clients for stocks, bonds and other investment products, and write trade tickets.
- \* Assist the Investment Advisor in prospecting for new clients.
- \* Advise clients of investment opportunities.
- \* Inform clients of maturing money market instruments and re-invest funds as requested.
- \* Advise clients on matters relating to dividends and interest.
- \* Notify clients of tender offers, redemptions, etc.
- \* Request information and documentation from clients to open accounts.
- \* Provide current price quotations to clients referring to quote services and trading desk personnel.
- \* Check/ investigate buy/ sell orders and report back to clients.
- \* Follow up on client trades to ensure proper settlement and delivery, informing appropriate departments to take action.
- \* Investigate and resolve enquiries and complaints related to accounts and refer to the Investment Advisors where appropriate.
- \* Maintain daily records of trades, by client and by type of security.
- \* Maintain current knowledge of client accounts by reviewing daily computer runs.
- \* Contact clients whose accounts are under margin and follow up.
- \* Relay information to the IA regarding new stock and bond issues and changes in trading activity.
- \* Review incoming mail and telephone calls and respond as

appropriate.

- \* Greet clients arriving for meetings

2. Perform general administrative tasks:

- \* Keep appointment books/ agenda for Investment Advisors.
- \* Order periodicals, journals and other literature for Investment Advisors.
- \* Assemble and send investor information packages to clients upon request.
- \* Receive cheques and securities for credit to client accounts.
- \* Send cheques and arrange for registration and delivery of securities to clients.
- \* Review client portfolios monthly to ensure records are in order.
- \* Maintain client files.
- \* Input data to automated spreadsheets and databases.
- \* Compose letters to clients explaining current account status and proposed investment opportunities.
- \* Monitor all pending registered plan transfers to ensure completion on a timely basis.
- \* Enter buy/ sell order on automated system.

**Required Qualifications:**

- \* Successful completion of the Canadian Securities Course and current Registered or Investment Representative status.
- \* Knowledge of procedures related to buy/ sell offers from clients and completing trade tickets.
- \* Current knowledge of daily market activities sufficient to provide/ explain information to clients.
- \* Working knowledge of various quotation equipment and computer software including word processing, spreadsheet and industry specific software.
- \* General knowledge of the financial industry.
- \* High standards and attention to detail while following procedures dealing with large volumes of paperwork
- \* An enthusiastic team player with exceptional verbal and written communication skills, and the ability to build team and client relationships.
- \* Current up to date knowledge of compliance issues.
- \* Organizational/ administrative skills required to perform activities, and the ability to prioritize.
- \* Problem Solving Skills.
- \* Basic understanding of investment portfolios.

To apply, please send your resume with cover letter to:

[careers@blackmont.com](mailto:careers@blackmont.com)

We thank all applicants for applying. Only suitable and qualified applicants will be contacted.

